

**HOGAN & HARTSON L.L.P.**

500 SOUTH GRAND AVENUE  
SUITE 1900  
LOS ANGELES, CA 90071

Tel.: (213) 337-6700  
Fax: (213) 337-6701

**IMPORTANT NOTICE**  
**TELECOPY/FACSIMILE COVER LETTER**

WASHINGTON, DC  
BRUSSELS  
BUDAPEST\*  
LONDON  
MOSCOW  
PARIS\*  
PRAGUE\*  
TOKYO  
WARSAW  
BALTIMORE, MD  
BOULDER, CO  
COLORADO SPRINGS, CO  
DENVER, CO  
IRVINE, CA  
McLEAN, VA  
MIAMI, FL  
NEW YORK, NY (PARK AVE)  
NEW YORK, NY (THIRD AVE)  
ROCKVILLE, MD

\*Affiliated Office

TO: U.S. Patent and Trademark Office  
Examiner: Ellen E. Kim  
Art Unit: 2874

DATE: September 17, 2003

FROM: Lawrence J. McClure

TIME: \_\_\_\_\_

TOTAL NO. OF PAGES, INCLUDING COVER: 5

The attached information is CONFIDENTIAL and is intended only for the use of the addressee(s) named above. If the reader of this message is not the intended recipient(s) or the employee or agent responsible for delivering the message to the intended recipient(s), please note that any dissemination, distribution or copying of this communication is strictly prohibited. Anyone who receives this communication in error should notify us immediately by telephone and return the original message to us at the above address via the U.S. Mail.

**MESSAGE:**

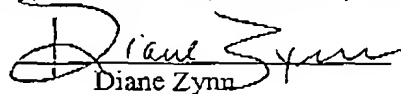
**RE: U.S. Patent Application Serial No.: 10/033,828; Attorney Docket No. 81716.0083**

I hereby certify that the following copies of documents:

- Postcard Receipt
- FORM PTO-1082 (Application Transmittal)
- Transmittal of Priority Document, Japanese Patent Application No. 2000-387852

are being facsimile transmitted to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, for filing in the above application.

September 17, 2003  
Date of Deposit

  
Diane Zynn

TELECOPY/FAX NUMBER: 703-746-4761

CLIENT NUMBER: 81716.0083

ATTORNEY BILLING NUMBER: 1966

CONFIRMATION NUMBER: (703) 308-4946 (please return fax to Diane Zynn)

S.N. Not Assigned File No. 81716.0083 Date Mailed 12.19.01 By: LM/ge  
 Title OPTICAL waveguide and optical circuit Base...  
 (Client Name) Kyocera  
 The Following due 12.20.01 in the U.S. Patent and Trademark office was received in the Patent  
 & Trademark Office on the date stamped hereon:

**ENTERED**  
**JAN 14 2002**  
**INTO MDC**

☐ Amendment  
☐ Preliminary Amendment  
☐ PCT Application Including  
☐ Pages Spec. ☐ Page Abstract ☐ Claims  
☒ Application for Patent Including  
32 Pages Spec. 1 Page Abstract 19 Claims  
☐ Declaration, Affidavit of Oath (☐ Page(s))  
☐ Assign. Ck No. ☐ for \$  
☐ Verified Statement  
☒ Letter of Transmittal PTO 1082  
☐ Amendment Under 37 C.F.R.1.312 (a)  
☐ Check No. ☐ for \$  
☐ Check No. ☐ for \$  
☐ Check No. ☐ for \$  
EL 713 632 098 US

Drawing: # of Sheets 9  
☒ Formal ☐ Informal  
☐ Issue Fee Transmittal  
☐ Letter Re  
☐ Notice of Appeal  
☐ Petition for  
☐ Advance soft copy order  
☐ Ck No. ☐ For \$  
☒ IDS: 2 References  
☒ Certified Copy# / of docs  
☐ Priority  
# JP 2000-387852 12.20.00

31046 U.S. PTO  
 16/033828  
 12/19/01

Sep-17-03

12:27pm

From-Hogan &amp; Hartson L.L.P. Los Angeles, CA 1 213 337 6701

T-758 P.003/005 F-297

FORM PTO-1082

81716.0083

Express Mail Label No. EL 713 632 098 US

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Shinichi ABE

Serial No: Not assigned

Filed: December 19, 2001

For: OPTICAL WAVEGUIDE AND OPTICAL CIRCUIT BASE COMPONENT

Box PATENT APPLICATION

U.S. Patent and Trademark Office

P.O. Box 2327

Arlington, VA 22202

Dear Sir:

CORRESPONDENCE ADDRESS:

☒ Customer Number

000026021



26021

PATENT TRADEMARK OFFICE

Transmitted herewith for filing is the patent application identified above.

☒ 9 sheet(s) of drawings (☒ formal ☐ informal) is(are) enclosed.☒ 32 page(s) of specification and 1 page(s) of abstract of the invention are enclosed.☐ An assignment of the invention to KYOCERA CORPORATION ☐ is enclosed ☒ will follow.☐ An associate power of attorney ☐ is enclosed ☐ will follow.☐ Applicant claims small entity status. See 37 CFR 1.27.☐ Declaration and Power of Attorney ☐ is enclosed ☒ will follow.☒ A certified copy of Japanese Patent Application No. 2000-387852 filed December 20, 2000 from which priority is claimed under 35 U.S.C. § 119 is enclosed.☒ IDS enclosed (☒ with 2 reference(s)).☐ Preliminary Amendment is enclosed.☐ Application data sheet is enclosed. See 37 CFR 1.76.☒ Return postcard is enclosed.

CALCULATION OF FEES							
ITEM	TOTAL NO. OF CLAIMS		NO. OF CLAIMS OVER BASE	LG/SM \$ ENTITY FEE	\$ AMOUNT	\$ FEE	
A TOTAL CLAIMS FEE	19	-20	0	LG=\$18 SM=\$9	\$18	0	
B INDEPENDENT CLAIMS FEE*	2	-3	0	LG=\$84 SM=\$42	\$84	0	
C SUBTOTAL - ADDITIONAL CLAIMS FEE (ADD FINAL COLUMN IN LINES A + B)							0
D MULTIPLE-DEPENDENT CLAIMS FEE					LARGE ENTITY FEE = \$280 SMALL ENTITY FEE = \$140		\$ 0
E BASIC FEE					LARGE ENTITY FEE = \$740 SMALL ENTITY FEE = \$370		\$ 740
F TOTAL FILING FEE (ADD TOTALS FOR LINES C, D, AND E)							\$ 740
G ASSIGNMENT RECORDING FEE						\$ 40	\$ 40
*LIST INDEPENDENT CLAIMS 1 and 12							

☐ Please charge my Deposit Account No. 50-1314 the amount of \$ 0. A copy of this letter is enclosed.☐ A check in the amount of \$ 0 to cover the filing fee is enclosed.☐ A check in the amount of \$ 40.00 to cover Assignment Recordation fee is enclosed.☐ The Commissioner is hereby authorized to charge any deficiency for the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-1314. A copy of this sheet is enclosed.☐ Any additional filing fees required under 37 C.F.R. 1.16☐ Any patent application processing fees under 37 C.F.R. 1.17

Date: December 19, 2001

500 South Grand Avenue, Suite 1900  
 Los Angeles, CA 90071  
 Telephone: (213) 337-6700  
 Facsimile: (213) 337-6701

Respectfully submitted,  
 HOGAN & HARTSON L.L.P.

By: Lawrence J. McQuire  
 Lawrence J. McQuire  
 Registration No. 44,228  
 Attorney for Applicant(s)

PATENT  
81716.0083

Express Mail Label No. EL 713 632 098 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Shinichi ABE

Serial No: Not assigned

Filed: December 19, 2001

For: OPTICAL WAVEGUIDE AND OPTICAL  
CIRCUIT BASE COMPONENT

Art Unit: Not assigned

Examiner: Not assigned

TRANSMITTAL OF PRIORITY DOCUMENT

Box PATENT APPLICATION  
U.S. Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202

Dear Sir:

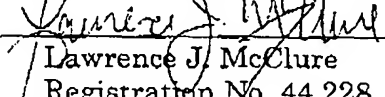
Enclosed herewith is a certified copy of [NAME OF COUNTRY] patent application No. 2000-387852 which was filed December 20, 2000, from which priority is claimed under 35 U.S.C. § 119 and Rule 55.

Acknowledgment of the priority document(s) is respectfully requested to ensure that the subject information appears on the printed patent.

Respectfully submitted,

HOGAN & HARTSON L.L.P.

Date: December 19, 2001

By:   
Lawrence J. McClure  
Registration No. 44,228  
Attorney for Applicant(s)

500 South Grand Avenue, Suite 1900  
Los Angeles, California 90071  
Telephone: 213-337-6700  
Facsimile: 213-337-6701

日 本 国 特 許 庁  
JAPAN PATENT OFFICE

別紙添付の書類に記載されている事項は下記の出願書類に記載されている事項と同一であることを証明する。

This is to certify that the annexed is a true copy of the following application as filed with this Office

出 願 年 月 日  
Date of Application:

2000年12月20日

出 願 番 号  
Application Number:

特願2000-387852

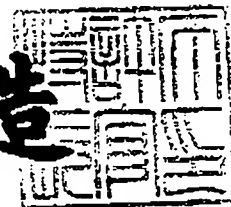
出 願 人  
Applicant(s):

京セラ株式会社

2001年 6月18日

特 許 庁 長 官  
Commissioner,  
Japan Patent Office

及 川 耕 造



出証番号 出証特2001-3056989